

# **UTAH COUNTIES INDEMNITY POOL RECORDS RETENTION POLICY**

## **SECTION A EFFECTIVE DATE AND FREQUENCY OF REVIEW**

1. The Board originally adopted the Records Retention Policy on September 23, 2005.
2. This policy should be reviewed annually, but not less than every three years by the Board of Directors.
3. This policy should also be reviewed at any time that changes to laws or rules governing the scheduling of records of a Utah Interlocal Agency are amended or recommendations are made by the UCIP CEO or CFO, which would require review and update to this policy.
4. Failure to review this policy in the frequency stated shall not nullify, void, limit or waive this policy or any action taken under this policy.
5. This policy is considered to be amended at the time any new federal or state law becomes effective which conflicts with this policy, but only to the extent necessary to come into compliance with new law.

## **SECTION B PURPOSE**

1. The purpose of this policy is to assure compliance with all state laws and rules that document the existence of records, the length of time the records must be maintained, and their final disposition—either destruction or permanent transfer to the State Archives' custody.

## **SECTION C AUTHORITY**

1. The Board has authority to adopt this policy under the UCIP Interlocal Agreement.

## **SECTION D APPLICABILITY AND SCOPE**

1. The PRMA mandates state ownership of government records and requires their effective management and care.
2. The PRMA establishes the record keeping responsibilities of governmental entities.
3. This policy is applicable to all UCIP agency-specific records approved by the State Records Committee.

## **SECTION E DEFINITIONS**

1. Board: the Board of Directors of the Utah Counties Indemnity Pool.
2. CAO: the Chief Administrative Officer, a senior executive, designated by the Board to ensure that a sound records management program is implemented throughout the Pool.
3. CEO: the Chief Executive Officer of the Utah Counties Indemnity Pool.
4. CFO: the Chief Financial Officer of the Utah Counties Indemnity Pool.
5. Pool: the Utah Counties Indemnity Pool.
6. PRMA: the Public Records Management Act.
7. Record: a book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material regardless of physical form or characteristics that is prepared, owned, received, or retained by a governmental entity or political subdivision; and where all of the information in the original is reproducible by photocopy or other mechanical or electronic means.
8. Record Series: a group of records that can be treated as a unit for purposes of designation, description, management, or disposition.
9. Schedule: the process of specifying the length of time each record series should be retained by a governmental entity for administrative, legal, fiscal, or historical purposes and when each record series should be transferred to the state archive or destroyed.
10. UCIP: the Utah Counties Indemnity Pool.

## **SECTION F POLICY STATEMENTS**

1. UCIP will comply with the Public Records Management Act.
2. UCIP will maintain an agency-specific record series approved by the State Records Committee.

## **SECTION G PROCEDURES AND RESPONSIBILITIES**

1. Government records cannot be disposed of or destroyed in contravention of a legally approved retention schedule.
2. UCIP's CAO submits proposed retention schedules of records for final approval to the State Records Committee.

3. UCIP's CAO reports the designation (primary classification) of each record series it maintains to the State Archives.

## **SECTION H REVISION HISTORY**

1. Original Adoption: September 23, 2005
2. Revised: February 16, 2006
3. Revised: April 18, 2006
4. Revised: June 21, 2019
5. Revised: June 18, 2020

## **SECTION I APPENDICES**

1. UCIP Agency Specific Records Retention Schedule.

**UTAH COUNTIES INDEMNITY POOL  
AGENCY SPECIFIC RECORDS RETENTION SCHEDULE**

**SERIES:** 26123

**TITLE:** Audit records and financial statements

**DATES:** 1992-

**ARRANGEMENT:** Chronologically by date.

**DESCRIPTION:** Audit records include all financial and claims audits performed by outside auditors. Financial statements include all in-house prepared quarterly financial statements of the financial affairs of the Utah Counties Indemnity Pool and an accounting of all income and expenditures in relationship to adopted budgets.

**RETENTION:** Permanent. Retain for 15 year(s).

**DISPOSITION:** Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:** Retention and disposition for this series is authorized by Archives general schedule Audit records, [GRS-1727](#).

**AUTHORIZED:** 11/15/2019

**FORMAT MANAGEMENT:** Paper. Retain in office for 5 years and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives with authority to weed.

Computer data files. Retain in office for 10 years and then transfer to State Archives with authority to weed.

**APPRAISAL:** Administrative Fiscal Historical.

These records have historical value because they provide evidence of significant policy formulation and business processes of the government.

**PRIMARY DESIGNATION:** Public.

**SECONDARY DESIGNATION:** Protected. Utah Code 63G-2-305(3).

**SERIES:** 26105

**TITLE:** Board of Directors meeting minutes and recordings

**DATES:** 1992-

**ARRANGEMENT:** Chronologically by date.

**DESCRIPTION:** These records are minutes of regular and special meeting of the UCIP Board of Directors. They are used to document the actions and decisions of the Board pursuant to their official duties. All related materials are attached to the minutes as the official record.

**RETENTION:** Permanent. Retain until administrative need ends.

**DISPOSITION:** Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:** Retention and disposition for this series is authorized by Archives general schedule Open meeting minutes & public materials, [GRS-1709](#).

**AUTHORIZED:** 02/13/2006

**FORMAT MANAGEMENT:** Paper. Retain in office until administrative value has been met and then transfer to State Archives with authority to weed.

Computer data files. Retain in office until administrative value has been met and then transfer to State Archives with authority to weed.

**APPRAISAL:** Administrative Historical.

**PRIMARY DESIGNATION:** Public.

**SECONDARY DESIGNATION:** Protected. Utah Code 63G-2-305(32).

**SERIES:** 26024

**TITLE:** Claims records

**DATES:** 1992-

**ARRANGEMENT:** Alphabetically by county thereunder chronologically by date.

**DESCRIPTION:** Claims records are all records associated with claims made against members of UCIP and referred to UCIP.

**RETENTION:** Retain for 20 year(s).

**DISPOSITION:** Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:** Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 04/2006

**FORMAT MANAGEMENT:** Paper. Retain in office for 5 years after last recorded activity and then transfer to State Records Center. Retain in State Records Center for 15 years and then destroy.

Computer data files. Retain in office until administrative need ends and then delete.

**APPRAISAL:** Fiscal Legal.

**PRIMARY DESIGNATION:** Protected. Utah Code 63G-2-305(24).

**SERIES:** 26026

**TITLE:** Claims-made insurance policies

**DATES:** 1992-

**ARRANGEMENT:** Alphabetically by county thereunder chronologically by date.

**DESCRIPTION:** These records contain copies of claims-made excess, joint purchase and reinsurance insurance policies. These policies designate what is covered and what is excluded. A claims-made policy requires that the claim be presented to the insurance company during the policy period.

**RETENTION:** Retain for 15 year(s).

**DISPOSITION:** Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:** Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 04/2006

**FORMAT MANAGEMENT:** Paper. Retain in office for 15 years after expiration of any tail coverage and then destroy.

Computer data files. Retain in office until administrative value has been met and then transfer to State Archives with authority to weed.

**APPRAISAL:** Fiscal.

**PRIMARY DESIGNATION:** Protected. Utah Code 63G-2-305(24).

**SERIES:** 26029

**TITLE:** Loss prevention records

**DATES:** 1995-

**ARRANGEMENT:** Alphabetically by county thereunder chronologically by year.

**DESCRIPTION:** These records contain loss prevention inspections, information about training, recommendations to members, and information about any other activities related to loss prevention.

**RETENTION:** Retain for 12 year(s).

**DISPOSITION:** Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:** Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2006

**FORMAT MANAGEMENT:** Paper. Retain in office for 5 years and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

Computer data files. Retain in office for 12 years and then delete.

**APPRAISAL:** Fiscal.

**PRIMARY DESIGNATION:** Protected. Utah Code 63G-2-305(24).



**SERIES:** 26121

**TITLE:** Occurrence-based insurance policies

**DATES:** 1992-

**ARRANGEMENT:** Alphabetically by county thereunder chronologically by date.

**DESCRIPTION:** These records contain copies of excess, joint purchase and reinsurance insurance policies. These insurance policies designate what is covered and what is excluded. Occurrence-based policies do not restrict the time frame in which claims can be made.

**RETENTION:** Permanent. Retain until administrative need ends.

**DISPOSITION:** Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:** Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 04/2006

**FORMAT MANAGEMENT:** Paper. Retain in office permanently.

**APPRAISAL:** Administrative.

Since occurrence-based policies do not restrict the time frame in which claims can be made the series is needed in the office permanently.

**PRIMARY DESIGNATION:** Protected. Utah Code 63G-2-305(24).

**SERIES:** 26122

**TITLE:** Personnel files

**DATES:** 1992-

**ARRANGEMENT:** Alphabetically by surname.

**DESCRIPTION:** These records contain complete work history of an individual (excluding medical/psychological information) while employed by UCIP. The employee's personnel file shall be subject to the rules governing personnel files. The file typically includes applications for employment, employment eligibility certification records, Form 1-9 and other documents required by the U.S. Citizenship and Immigration Services, personnel actions, corrective action plans, notices of disciplinary action, new employee orientation information, performance plans and evaluations, letters of appreciation/commendation, separation and leave without pay records, employee benefits notification forms for PEHP and URS, training certifications, leave and time records, copies of any documents affecting the employee's conduct, status or salary, etc.

**RETENTION:** Retain for 65 year(s).

**DISPOSITION:** Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:** Retention and disposition for this series is authorized by Archives general schedule Employment history records, [GRS-1965](#).

**AUTHORIZED:** 02/08/2006

**FORMAT MANAGEMENT:** Paper. Retain in office for 65 years or until 3 years after death or retirement and then destroy.

Computer data files. Retain in office for 65 years or until 3 years after date of death and then delete.

**APPRAISAL:** Administrative Legal.

**PRIMARY DESIGNATION:** Private. UCA 63G-2-302 (1)(e) (2008).

**SECONDARY DESIGNATION:** Public. UCA 63G-2-301 (1)(b) (2008).

**SERIES:** 26027

**TITLE:** Underwriting records

**DATES:** 1992-

**ARRANGEMENT:** Alphabetically by county and thereunder chronologically by date.

**DESCRIPTION:** Underwriting files contain financial data and information about member exposures such as values of buildings, automobiles and all other member property, complete lists of member expenditures. This information is used to market the annual excess/reinsurance policies and to establish the rating structure and rates for member's annual contributions.

**RETENTION:** Retain for 15 year(s).

**DISPOSITION:** Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:** Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 04/2006

**FORMAT MANAGEMENT:** Paper. Retain in office for 5 years after close of underwriting period and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

Computer data files. Retain in office until administrative value has been met and then delete.

**APPRAISAL:** Fiscal.

**PRIMARY DESIGNATION:** Protected. Utah Code 63G-2-305(24).

**SECONDARY DESIGNATION:** Public.

**SERIES:** 26028

**TITLE:** Underwriting records, agency placement for members

**DATES:** 1992-

**ARRANGEMENT:** Alphabetically by county thereunder chronological by date.

**DESCRIPTION:** These records pertain to property and liability exposures not covered under coverage addendums and/or reinsurance policies. Some examples are airport and aircraft liability, surety bonding, course of construction, third party events held in member owned facilities.

**RETENTION:** Retain for 5 year(s).

**DISPOSITION:** Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:** Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 04/2006

**FORMAT MANAGEMENT:** Paper. Retain in office for 5 years after expiration of policy and then destroy.

Computer data files. Retain in office until administrative value has been met and then delete.

**APPRAISAL:** Administrative Legal.

**PRIMARY DESIGNATION:** Protected. Utah Code 63G-2-305(24).

**SECONDARY DESIGNATION:** Public.